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TO: Commissioner for
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Attn: Examiner Julian W. Woo
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FROM: JAMES A. LARSON

OUR REF: 20043.0003USD4
TELEPHONE: (612) 455.3800

Total pages, including cover letter: 95

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Documents transmitted: **SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT,
FORM 1449, 2 REFERENCES, EP SEARCH REPORT DATED 14.8.06**

Applicant: KAPLAN et al.
Serial No.: 10/007,364
App. Filed: November 5, 2001
Group Art No.: 3731

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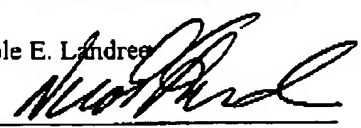
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Applicant: KAPLAN et al. Examiner: J. J. Woo
Serial No.: 10/007,364 Group Art Unit: 3731
Filed: November 15, 2001 Docket: 20043.0003USD4
Title: METHODS AND APPARATUS FOR TRANSPERICARDIAL LEFT
ATRIAL APPENDAGE CLOSURE

CERTIFICATE UNDER 37 CFR 1.6(d): I hereby certify that this paper is being transmitted by facsimile to the
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By: 
Name: NICOLE LANDREE

SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT

Mail Stop Amendment
Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Sir:

With regard to the above-identified application, the items of information listed on the enclosed Form 1449 are brought to the attention of the Examiner. Copies of any foreign patent documents or "Other Documents" are enclosed.

The references listed in the EP Search Report which are not cited in this IDS have been previously submitted.

In accordance with the provisions of 37 C.F.R. §1.97, this statement is being filed (CHECK ONE):

- ☐ (1) within three (3) months of the Filing Date, before the mailing date of a First Office Action on the merits, or before the mailing date of a First Office Action on the merits after the filing of a request for continued examination under 37 C.F.R. §1.114; or
- ☐ (2) after the period defined in (1) but before the mailing date of a Final Rejection or Notice of Allowance, and
- ☐ the requisite Statement is below, OR
- ☐ the requisite fee of \$180.00 under Rule 1.17(p) is included herein, or
- ☒ (3) after the mailing date of a Final Rejection or Notice of Allowance but on or before the payment of the Issue Fee, AND

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- ☒ the requisite Statement is below, AND
- ☒ the requisite fee of \$180.00 under Rule 1.17(p) is included herein.

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STATEMENT

As required under §1.97(e), Applicants hereby state either that:

- ☒ 1. Each item of information contained in the Information Disclosure Statement was first cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing date of the Information Disclosure Statement; or
- ☐ 2. No item of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application, and to the knowledge of the person signing this Statement after making reasonable inquiry, no item of information contained in the Information Disclosure Statement was known to any individual designated in §1.56(c) more than three months prior to the filing of the Information Disclosure Statement.
- ☒ If this box is checked, Applicant provides the following:

Certification Under 37 C.F.R. §1.704(d)

In accordance with 37 C.F.R. §1.704(d), the undersigned hereby certifies that each item listed on the enclosed Form 1449 was first cited in a communication from a foreign patent office in a counterpart application, and that this communication was not received by any individual designated in 37 C.F.R. §1.56(c) more than thirty (30) days prior to the filing of this Information Disclosure Statement.

- ☐ The Examiner is hereby advised of the following co-pending U.S. applications. A copy of each U.S. patent application publication (if published) or application (if not published) is enclosed.

Application No.

Filing Date

Group

No representation is made that a reference is "prior art" within the meaning of 35 U.S.C. §§ 102 and 103 and Applicants reserve the right, pursuant to 37 C.F.R. § 1.131 or otherwise, to establish that the reference(s) are not "prior art." Moreover, Applicants do not represent that a reference has been thoroughly reviewed or that any relevance of any portion of a reference is intended.

Consideration of the items listed is respectfully requested. Pursuant to the provisions of M.P.E.P. 609, it is requested that the Examiner return a copy of the attached Form 1449, marked as being considered and initialed by the Examiner, to the undersigned with the next official communication.

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FEE AUTHORIZATION

Should any fee associated with the submission of this paper not be attached hereto as a check, the Commissioner is authorized to charge the missing fee to our Deposit Account, No. 50-3478. Any overpayments should be credited to said Deposit Account.

Respectfully submitted,

HAMRE, SCHUMANN, MUELLER &
LARSON, P.C.
Post Office Box 2902
Minneapolis, MN 55402-0902
(612) 455-3800

Dated: SEPTEMBER 14, 2006

By: _____

James A. Larson
Reg. No. 40,443

JAL:nel

Date Mailed: SEPTEMBER 14, 2006

Sheet 1 of 1

FORM 1449* SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT IN AN APPLICATION (Use several sheets if necessary)	Docket Number: 20043.3USD4	Application Number: 10/007,364
	Applicant: KAPLAN et al.	
	Filing Date: NOVEMBER 15, 2001	Group Art Unit: 3731

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EXAMINER	DATE CONSIDERED
EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; draw line through citation if not in conformance and not considered. Include copy of this form for next communication to the Applicant.	

*Substitute Disclosure Statement Form (PTO-1449)

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